

# **Mark W. Mahaffie - Financial Designs Wealth Management**

## **Consent Order**

**DATE:** October 27, 2006

**RESPONDENTS:** Mark W. Mahaffie; Financial Designs Wealth Management

**ALLEGATIONS:** Unregistered Investment Adviser Activity

**CONSENT ORDER:** Respondents Mahaffie and Financial Designs neither admit nor deny the allegations. In the Stipulation Order, it was alleged that Respondents were engaged in investment adviser activity without being registered by the Office of the Kansas Securities Commissioner. Terms of the Consent Order are that: (1) Respondent Mahaffie will take and pass the Series 66 examination within six (6) months of the date of the Order; (2) Respondents Mahaffie and Financial Designs agree to be available for an unannounced follow-up examination no less than six (6) months nor more than twelve (12) months from the date of the Consent Order; and (3) Respondents Mahaffie and Financial Designs will pay a fine of \$2,000.00

**Notice to Investors:** If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.